

#3
PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

APPLICANTS: POPP ET AL - 1 US

SERIAL NO.: 10/059,774

GROUP: 1614

FILED: JANUARY 30, 2002

FOR: PROCESS FOR THE ENZYMATIC PREPARATION OF ENANTIOPURE
1,3-DIOXOLAN-4-ONE AND 1,3-OXATHIOLAN-5-ONE DERIVATIVES

SUBMISSION OF INFORMATION DISCLOSURE STATEMENT
OF DR. HOLGER POTTEN

ATTN: BOX NON-FEE AMENDMENT
Ass't. Commissioner for Patents
Washington, D.C. 20231

Dear Sir:

Applicants wish to bring to the attention of the Patent Examiner the attached Information Disclosure Statement, duly signed by Dr. Holger Potten and the nine (9) references listed on the enclosed Form PTO-1449 and attached thereto.

The relevance of these references is that they are cited in the Specification and the Office Action of the German Patent and Trademark Office and may be material to the examination of the application.

Since this Information Disclosure Statement is being filed prior to a first Office Action, it is believed that no fee is due. However, if it is determined that a fee is due, the Commissioner is hereby authorized to charge, or to credit any over payment, to our Deposit Account Number 03-2468.

It is respectfully requested that this Information Disclosure Statement be considered and placed into the application file.

Respectfully submitted,

POPP ET AL - 1 US



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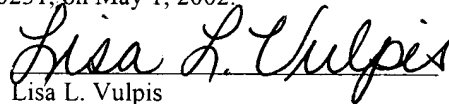
Papers Sent:

Submission of Information Disclosure Statement of Dr. Holger Potten

Enclosures:

- (1) Information Disclosure Statement of Dr. Holger Potten
- (2) PTO-form 1449 w/copies of nine (9) references

I hereby certify that this correspondence is being deposited with the U.S. Postal Service as first class mail in an envelope addressed to: Assistant Commissioner of Patents, Washington, D.C. 20231, on May 1, 2002.


Lisa L. Vulpis

#4

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of :
POPP ET AL. -1 US :
Serial Number 10/059,774 : Group Art Unit: 1614
Filed: January 30, 2002 :
For: A PROCESS FOR THE ENZYMATIC PREPARATION OF ENANTIOPURE 1,3-DIOXOLAN-4-ONE AND 1,3-OXATHIOLAN-5-ONE DERIVATIVES:

Information Disclosure Statement

Honorable Commissioner of Patents and Trademarks
Washington, D.C. 20231

Sir or Madam:

I, Holger Potten, associated with the preparation and prosecution of the above-identified application, residing at Neubiberger Straße 17a, 81737 München, Germany, wish to call the attention of the Patent Examiner to the references enumerated on the enclosed PTO Form-1449.

I believe the documents enumerated on the enclosed Form PTO-1449 and attached thereto, are cited in the enclosed application and in the Office Action of the German Patent and Trademark Office and may be material to the examination of the application.

Therefore, it is respectfully requested that the foregoing Information Disclosure Statement be considered by the Examiner and incorporated into the file of this application.

I wish to comment as follows concerning the prior art references enumerated on PTO Form-1449:

WO 00/22157, cited in the application, already in English language, is enclosed.

WO 92/14743, cited in the application, already in English language, is enclosed.

WO 91/11186, cited in the application, already in English language, is enclosed.

J. Wilson et al., Bioorg. Med. Chem. Lett. 1993, 3 (2), pp. 169 – 174, cited in the application, are enclosed in English language.

J. Org. Chem. 1992, 57 (21), , pp. 5563 – 5565, cited in the application, are enclosed in English language.

Chen, C.-S. et al., J. Am. Ehem. Soc. 104, pp. 7294 –7299, cited in the application, are enclosed in English language.

Patent Abstracts of Japan. JP 07075594 A, cited in the Office Action of the German Patent and Trademark Office, is enclosed.

Patent Abstracts of Japan. JP 08023997 A, cited in the Office Action of the German Patent and Trademark Office, is enclosed.

Bull. Chem. Soc. Jpn. 69, pp. 2977 - 2987 (1996), cited in the Office Action of the German Patent and Trademark Office, are enclosed in English language.

Signed this 25th day of March, 2002.



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Dr. Holger Potten